

Practitioner's Docket No. U 016070-3

**PATENT**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent Application  
of \_\_\_\_\_

Inventor(s)

for

# Title of invention

**OR**

In re application of:      Javier JUANARENA SARAGUETA, et al.

Serial No.: 10/563,043

Group No.: 2834

Filed: December 30, 2005

Examiner: N/A

For: CONTROL AND PROTECTION OF A DOUBLY-FED INDUCTION GENERATOR SYSTEM

**Commissioner for Patents**  
**P. O. Box 1450**  
**Alexandria, VA 22313-1450**

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT  
WITHIN THREE MONTHS OF FILING OR  
BEFORE MAILING OF FIRST OFFICE ACTION (37 C.F.R. 1.97(b))**

**CERTIFICATION UNDER 37 C.F.R. 1.8(a) and 1.10\***

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**37 C.F.R. 1.8(a)**

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## TRANSMISSION

- ☐ transmitted by facsimile to the Patent and Trademark Office. to

Date: June 15, 2006

**Signature**

William R. Evans

(type or print name of person certifying)

**NOTE:** 37 C.F.R. 1.98(b):

- (1) *Each U.S. patent listed in an information disclosure statement must be identified by inventor, patent number, and issue date.*
- (2) *Each U.S. patent application published listed in an information disclosure statement shall be identified by applicant, patent application publication number, and publication date.*
- (3) *Each U.S. application listed in an information disclosure statement must be identified by the inventor, application number, and filing date.*
- (4) *Each foreign patent or published foreign patent application listed in an information disclosure statement must be identified by the country or patent office which issued the patent or published the application, an appropriate document number, and the publication date indicated on the patent or published application.*
- (5) *Each publication listed in an information disclosure statement must be identified by publisher, author (if any), title, relevant pages of the publication, date, and place of publication.*

**WARNING:** *No extension of time can be had under 37 C.F.R. § 1.36 (a) or (b) for filing an IDS. 37 C.F.R. § 1.97(f).*

**NOTE:** *The "filing date of a national application" under 37 C.F.R. 1.97(b) has two possible meanings. Where the filing is a direct one to the United States Patent & Trademark office, the filing is defined in 37 C.F.R. 1.53(b) as "the date on which: (1) A specification containing a description pursuant to § 1.71 and at least one claim pursuant to § 1.75; and (2) any drawing required by § 1.81(a), are filed in the Patent and Trademark Office in the name of the actual inventor or inventors as required by § 1.41." 37 C.F.R. 1.97(b)(1). On the other hand, an international application that enters the national stage occurs when the applicant has filed the documents and fees required by 35 U.S.C. § 371(c) within the periods set forth in § 1.494 or § 1.495. 35 U.S.C. § 371(c) requires the filing of the following: (1) the national fee; (2) a copy of the international application, unless already sent by the International Bureau, and an English translation if filed in another language; (3) amendments under PCT Article 19, with a translation into English if made in another language; (4) an oath or declaration; and (5) a translation into English of any annexes to the international preliminary examination report, if such annexes were made in another language. 37 C.F.R. 1.97(b)(2).*

### **IDENTIFICATION OF TIME OF FILING THE ACCOMPANYING INFORMATION DISCLOSURE STATEMENT**

The information disclosure statement submitted herewith is being filed within three months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office action on the merits, whichever event occurs last. 37 C.F.R. 1.97(b).

**NOTE:** *"No certification or fee is due when the filing is made within the above time period. It is advisable to ensure that no Office action has been mailed if the disclosure statement is delayed until after three months from filing."*

**NOTE:** *"An information disclosure statement will be considered to have been filed on the day it was received in the Office, or on an earlier date of a mailing if accompanied by a properly executed certificate of mailing under 37 C.F.R. 1.8, or Express Mail certificate under 37 C.F.R. 1.10. An office action is mailed on the date indicated in the Office action." Notice of April 20, 1992 (1138 O.G. 37-41, 39).*

**NOTE:** *"The term 'national application' includes continuing applications (continuations, divisions, continuations-in-part) so three-months will be measured from the actual filing date of an application as opposed [sic] to the effective date of a continuing application." Notice of April 20, 1992 (1138 O.G. 37-41, 39).*

**NOTE:** "An action on the merits means an action which treats the patentability of the claims in an application, as opposed to only formal or procedural requirements. An action on the merits would, for example, contain a rejection or indication of allowability of a claim or claims rather than just a restriction requirements (37 C.F.R. 1.142) or just a requirement for additional fees to have a claim considered (37 C.F.R. 1.16(d)). Thus, if an application was filed on Jan. 1 and the first Office action on the merits was not mailed until six months later on July 1, the examiner would be required to consider any proper information disclosure statement filed prior to July 1." Notice of April 20, 1992 (1138 O.G. 37-41, 39).

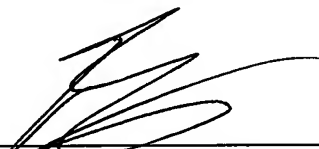
**WARNING:** "A petition for suspension of action to allow applicant time to submit an information disclosure statement will be denied as failing to present good and sufficient reasons, since 37 C.F.R. 1.97 provides adequate recourse for the timely submission of prior art for consideration by the examiner." Notice of July 6, 1992 (1141 O.G. 63). But see § 103(b) and (c), limited suspension of action in a continued prosecution application (CPA) filed under § 1.53(d) and in a request for continued examination (RCE) under § 1.114.

If a fee is required, please charge deposit account 12-0425.

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\_\_\_\_\_  
SIGNATURE OF PRACTITIONER

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(type or print name of practitioner)

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P.O. Address

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**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

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Attorney Docket No.: U 016070-3

Commissioner for Patents  
P.O. BOX 1450  
Alexandria, Va. 22313

Sir:

**INFORMATION DISCLOSURE STATEMENT**

We draw the attention of the Examiner to the attached English-language version of an International-type Search Report from a foreign office in respect of counterpart EP Application No. 03 38 0174 that indicates the degree of relevance found by the foreign office. The Search Report makes consideration of any non-English art required. MPEP 609.

Respectfully submitted,

William R. Evans  
Ladas & Parry LLP  
26 West 61<sup>st</sup> Street  
New York, New York 10023  
Reg. No. 25858  
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**CERTIFICATE OF MAILING (37 CFR 1.8a)**

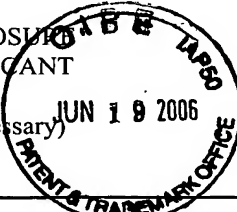
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Date: June 15, 2006

William R. Evans  
(Type or print name of person mailing paper)

  
(Signature of person mailing paper)

FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE  INFORMATION DISCLOSURE STATEMENT BY APPLICANT  (Use several sheets if necessary)		ATTY. DOCKET NO.		SERIAL NO.	
		U 016070-3		10/563,043	
		APPLICANT			
		Javier JUANARENA SARAGUETA et al.			
		FILING DATE		GROUP	
		DECEMBER 30, 2006		2834	



U.S. PATENT DOCUMENTS					
EXAMINER INITIALS	REFERENCE DESIGNATION	DOCUMENT NUMBER	DATE	NAME	FILING DATE IF APPROPRIATE
	AA	2005/0116476	06/2005	Feddersen	
	AB	5,734,256	03/1998	Larsen et al.	
	AC	4,812,729	03/1989	Ito et al.	
	AD				
	AE				
	AF				
	AG				
	AH				
	AI				

FOREIGN PATENT DOCUMENTS						
	DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION		
				YES	NO	
	AJ	102 06 828	08/2003	DE	X	
	AK	197 35 742	02/1999	DE	X	
	AL	7-194196	07/1995	JP	X	
	AM	7-67393	03/1995	JP	X	
	AN	1 124 781	06/1982	CA		

OTHER ART (Including Author, Title, Date, Pertinent Dates, Etc.)		
	AO	English Abstract of DE 102 06 828 dated August 14, 2003
	AP	English Abstract of DE 197 35 742 dated February 25, 1999
	AQ	Computer-Generated English Translation of Claims and Specification and Patent Abstracts of Japan of 7-194196 dated July 28, 1995
	AR	Computer-Generated English Translation of Claims and Specification and Patent Abstracts of Japan of JP7-67393 dated March 10, 1995
	AS	Weiss, H. "Rotor Circuit GTO Converter for Slip Ring Induction Machine" <i>EPE '97 (Trondheim)</i> pp 2717-2728
	AT	Pena, R.S. et al. "Vector Control of a Variable Speed Doubly-Fed Induction Machine for Wind Generation Systems" <i>EPE Journal</i> (1996) Vol. 6, No. 3-4, pp 60-67

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	